

532 Rec'd PCT/PTC 28 SEP 2000

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

KOI 185

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

09/647378

INTERNATIONAL APPLICATION NO.

PCT/JP00/00904

INTERNATIONAL FILING DATE

17 February 2000 (17.02.00)

PRIORITY DATE CLAIMED

17 February 2000 (17.02.00)

TITLE OF INVENTION

INFORMATION PROCESSING APPARATUS AND METHOD, AND PROGRAM STORAGE MEDIUM

APPLICANT(S) FOR DO/EO/US

KAWAKAMI, Itaru; ISHIGURO, Ryuji; TANABE, Mitsuru and EZURA, Yuichi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (unsigned)
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. w/Form 1449 and cited prior art.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- a.) Forms PCT/IB/301, 304, 308 and 346
- b.) PCT Request Easy;
- c.) Thirty-six (36) sheets of formal drawings;
- d.) Copy of front page of PCT Published Application No. WO/00/49510 as published on August 24, 2000;
- e.) Certified translation of Japanese priority patent application No. P11-039218 filed on February 17, 1999.

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the fee calculation sheet

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|---|--|-------------------------------|--|--------------------------|--|
| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| 09/6473 | | PCT/JP00/00904 | | KOIK-T0185 | |

21. The following fees are submitted:

| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : | | | CALCULATIONS PTO USE ONLY | |
|--|--------------|--------------|---------------------------|------------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$970.00 | | | |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$840.00 | | | |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$690.00 | | | |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$670.00 | | | |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) | \$96.00 | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | |
| | | \$840.00 | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | |
| | | \$0.00 | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
| Total claims | 35 - 20 = | 15 | x \$18.00 | \$270.00 |
| Independent claims | 25 - 3 = | 22 | x \$78.00 | \$1,716.00 |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> | | | | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$2,826.00 |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/> | | | | \$0.00 |
| SUBTOTAL = | | | | \$2,826.00 |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). | | | + | \$0.00 |
| TOTAL NATIONAL FEE = | | | | \$2,826.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/> | | | | \$0.00 |
| TOTAL FEES ENCLOSED = | | | | \$2,826.00 |
| | | | Amount to be: | \$ |
| | | | refunded | |
| | | | charged | \$ |

☒ A check in the amount of **\$2,826.00** to cover the above fees is enclosed.


☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **12-1420** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Charles P. Sammut, Esq.
Limbach & Limbach L.L.P.
2001 Ferry Building
San Francisco, CA 94111-4262



SIGNATURE

Mayumi Maeda

NAME

40,075

REGISTRATION NUMBER

September 28, 2000

DATE

PATENT

PATENT COOPERATION TREATY
UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

| | | |
|---------------------------------------|---|---------------------|
| In re Nat'l Phase Application of: |) | |
| |) | |
| ITARU KAWAKAMI ET AL. |) | |
| |) | |
| Based Upon International |) | CERTIFICATION |
| Application No. PCT/JP00/00904 |) | UNDER |
| Int'l Filing Date: February 17, 2000) |) | <u>37 CFR §1.10</u> |
| |) | |
| Serial No. Not Assigned |) | |
| |) | |
| Filed: Herewith |) | |
| |) | |
| For: INFORMATION PROCESSING |) | |
| APPARATUS AND METHOD, AND |) | |
| PROGRAM STORAGE MEDIUM |) | |
| |) | |

Attn: Designated/Elected Office (DO/EO/US)
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Sir:

I hereby certify that this Application for entering the national phase of the above-identified International Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, **September 28, 2000**, in an envelope bearing "Express Mail Post Office to Addressee" Mailing Label Number **EL254113385US** addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231-0001, Attention U.S. Designated/Elected Office (DO/EO/US).

Enclosed are:

1. Transmittal Letter to the U.S. Designated/Elected Office, in duplicate;
2. Verified translation of International Application No. PCT/JP00/00904 as filed February 17, 2000, including Specification, Claims and Abstract;
3. PCT Request Form-EASY;
4. Combined Declaration/Power of Attorney/Claim of Priority (unsigned);

5. Thirty-six (36) Sheets of Formal Drawings comprising Figures 1 through 37;
6. Copies of Forms PCT/IB/301, 304, 308, and 346;
7. Amendment of the Claims under Article 19(1) (Rule 46) in Japanese with English translation;
8. International Search Report;
9. English Translation of Japanese Priority patent application No. P11-039218 filed on February 17, 1999;
10. Information Disclosure Statement with Form 1449 and cited prior art references;
11. Front cover page of International Application published on August 24, 2000 as Publication No. WO00/49510;
12. Check in the amount of \$2,286.00;
13. Acknowledgement Postcard.

Dated: September 28, 2000



JOAN MAZZEO

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Attorney Docket No. KOIK-T0185